

VIA EFS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No.: 10/840,188 Confirmation No.: 7264
 Applicant(s): Mark L. Mathis
 Filed: May 5, 2004
 Art Unit: 3731
 Examiner: NGUYEN, TUAN VAN
 Title: DEVICE AND METHOD FOR MODIFYING THE SHAPE OF A BODY
 ORGAN
 Customer No.: 66854

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT UNDER
37 CFR § 1.97 & § 1.98

Sir:

In accordance with 37 CFR § 1.97-1.98, applicants hereby submit an Information Disclosure Statement, including attached forms(s) PTO/SB/08. A copy of each reference is being submitted herewith, along with a concise explanation in English for those publications in a foreign language.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. Applicants further request that the Examiner initial and return a copy of the attached form(s) PTO/SB/08 in accordance with MPEP §609.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and /or to prove that this information may not be enabling for the teachings purportedly offered.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, prior art or material to patentability as defined in 37 CFR §1.56.

FILING OF INFORMATION DISCLOSURE STATEMENT



37 CFR §1.97(b)

This statement is being submitted under 37 CFR §1.97(b) because the IDS is being filed:

- ☐ 1). Within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d), or
- ☐ 2). Within 3 months of entry of a national stage as set forth in § 1.491, or
- ☐ 3). Before the mail date of a first Office Action on the merits, or
- ☐ 4). Before the mailing of a first Office Action after filing a request for continued examination under § 1.114.

- ☒ 37 CFR § 1.97(c)
This statement is being filed after the latest of:
- ☐ 1). Three months beyond the filing date of a national application, or
 - ☐ 2). Three months beyond the date of entry of the national stage as set forth in § 1.491 in an international application, or
 - ☒ 3). The mailing date of a first Office Action on the merits, but before the mailing date of the earlier of a final Office Action under § 1.113 or a Notice of Allowance under § 1.311, and then either:
 - ☒ A). A fee of \$180.00 as set forth in § 1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement. or
 - ☐ B). A certification as specified in § 1.97(e) is provided below; thus no fee is required.

- ☐ 37 CFR § 1.97(d)
This statement is being filed after the mailing date of a Final Office action, a Notice of Allowance under § 1.311, or an action that otherwise closes prosecution, but on or before payment of the issue fee, and then:

A). A fee of \$180.00 as set forth in § 1.17(p) is authorized below, enclosed, or payment is included with other papers filed together with this statement

--AND--

B). A certification as specified in § 1.97(e) is included below.

CONTENT OF INFORMATION DISCLOSURE STATEMENT UNDER **37 CFR § 1.98**

- ☐ 37 CFR §1.98 (a)(2)(ii), U.S. patents or patent application publication(s) cited
- ☐ 1). Since not requested by the Office, U.S. patents and U.S. patent application publications are not included.
 - ☐ 2). At the request of the Office, a copy of the following U.S. patent or patent application publication is attached:
 - ☐ 3). Items identified by a double asterisk (**) on the SB08A are *commonly-owned U.S. patents and U.S. patent application publications.
- ☒ 37 CFR §1.98 (a)(2)(iii) and (d), *Commonly-owned, unpublished U.S. applications cited
- ☐ 1). A copy of each application specification including the claim(s), and any drawing, or that portion of the application that caused it to be listed, is attached.
 - ☐ 2). A copy of each application specification is not submitted because the specification was previously submitted in the IDS of the following, earlier filed application relied on for an earlier effective filing date:
 - ☒ 3). A copy of each application specification is not submitted because the application is stored in the IFW.

**Applicant(s) assume the Examiner has access to the file histories of these items. However, if the Examiner would like to receive copies of Office Actions in any of the commonly-owned applications, publications and/or patents identified on the attached SB08, please inform the undersigned and copies will be provided.*

- ☒ 37 CFR §1.98 (a)(2)(iii) and (d), English language publication (other than U.S. patents, patent applications, or pending unpublished applications) cited
- ☒ 1). A legible copy of each publication or that portion which caused it to be listed is attached.
 - ☐ 2). A copy of each publication or that portion which caused it to be listed is not submitted because the publication was previously submitted in the IDS of the following, earlier filed application relied on for an earlier effective filing date:

- ☐ 37 CFR §1.98 (a)(2)(i) and (d), Foreign patent(s) in English cited
- ☐ 1). A legible copy of each foreign patent or that portion which caused it to be listed is attached.
- ☐ 2). A copy of each foreign patent is not submitted because the publication was previously submitted in the IDS of the following, earlier filed application relied on for an earlier effective filing date:
- ☐ 37 CFR §1.98 (a)(2)(i), (a)(3)(i-ii) and MPEP 609(B), Foreign patent(s) or other foreign documents not in English cited. Either:
- ☐ 1). A legible copy of each foreign patent, each publication or that portion which caused it to be listed, is attached
- AND--
- ☐ 2a). A concise explanation of the relevance, as it is presently understood by the individual designated in § 1.56 (c) most knowledgeable about the content of the information, of each patent, publication, or other information listed that is not in the English language is provided herewith:
- OR--
- ☐ 2b). A copy of a written, English-language translation or portion thereof is readily available and attached,
- OR--
- ☐ 2c). An English language copy of a foreign search report is submitted.
- OR--
- ☐ 3). A copy of each foreign patent is not submitted because the publication was previously submitted in the IDS of the following, earlier filed application relied on for an earlier effective filing date:


STATEMENT UNDER 37 CFR § 1.97(e)

- ☐ Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.
- ☐ No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

FEE AUTHORIZATION

- ☒ The Commissioner is hereby authorized to charge the above-referenced fees of \$180.00 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 50-4050.

Respectfully Submitted,

By: 
Thomas Zlogar Reg. # 55760

Dated: 3/23/10

Shay Glenn LLP
2755 Campus Drive, Suite 210
San Mateo, CA 94403
(650) 212-1700
Customer No. 66854